



15.17/5051

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: FURUHATA et al.  
Serial No.: 09/599,477  
Filed: June 23, 2000  
For: SEMICONDUCTOR DEVICES  
INCLUDING A NON-VOLATILE  
MEMORY TRANSISTOR

Group Art Unit: 2826

Examiner: Dickey, T.

82820  
#7  
4-11-02

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sirs:

In accordance with 37 CFR §§ 1.56, 1.97, and 1.98, enclosed please find Form PTO-1449 listing the attached references which might be deemed material to the examination of the above-identified application.

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A. Non-English Language References

- ☐ Enclosed is a search report for a counterpart application. The search report Examiner has provided comments on the relevancy of any non-English language references cited in the search report.
- ☐ The specification incorporates comments on the relevancy of Non-English language references.
- ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:
- ☒ English language abstracts have been submitted for the 6 Japanese language references cited on Form PTO-1449. In addition, U.S. Patent No. 5,939,749 appears to be related to JP 9-321156, and U.S. Patent No. 5,969,383 appears to be related to JP 11-74389.

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- B. ☐ The information disclosure statement submitted herewith is being filed
- 1) within three months of the filing date of a national application other than a continued prosecution application under 1.53(d);
  - 2) within three months of the date of entry into the national stage as set forth in 1.491 in an international application;
  - 3) before the mailing date of a first Office Action on the merits;
  - 4) before the mailing date of a first Office Action after filing of a Request for Continued Examination under 1.114; or
  - 5) before the mailing date of a first Office Action after filing of a Continued Prosecution Application.
- C. ☒ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph B, but before the mailing date of a final action under 1.113, a Notice of Allowance under 1.311, or an action otherwise closing prosecution, and is accompanied by:
- 1) a Statement under 1.97(e); or
  - 2) a fee of \$180 as set forth in 1.17(p).
- D. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph C, but before payment of the issue fee, and is accompanied by:
- 1) a Statement under 1.97(e); and
  - 2) a fee of \$180 as set forth in 1.17(p).

#### STATEMENT UNDER 1.97(e)

I, the person signing below, certify

- ☐ that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(1).

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(2).

- **Please charge any insufficiency or credit any overpayment to Deposit Account No. 50-0585.** A duplicate of this letter is enclosed for fee processing.

Respectfully submitted,

*Alan S. Raynes*

Alan S. Raynes  
Reg. No. 39,809

March 29, 2002  
Date

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**Certificate of Mailing**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail on March 29, 2002 and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

*Alan S. Raynes*  
Alan S. Raynes

March 29, 2002  
(Date)